# DEPARTMENT OF THE ARMY U.S. ARMY MILITARY DISTRICT OF WASHINGTON FORT LESLEY J. MCNAIR, DC 20319-5058

MDW Regulation No. 690-3

1 May 2000

# Civilian Personnel Equal Employment Opportunity ALTERNATIVE DISPUTE EARLY RESOLUTION PROGRAM

FOR THE COMMANDER:

DISTRIBUTION:
A
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Colonel, GS

Chief of Staff

D

S: ANEE (150)

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History. This is a new regulation.

**Summary.** This regulation provides policy, procedures, and responsibilities for implementation and administration of the Alternative Dispute Resolution (ADR) Program for the U.S. Army Military District of Washington (MDW). This regulation is in compliance with the Alternative Dispute Resolution Act; Title 29 Code of Federal Regulations (CFR), Part 1614, Federal Sector Equal Opportunity; AR 690-600; and MDW Reg 690-2.

Applicability. This regulation applies to Headquarters, MDW, and all installations, subordinate commands, and activities of the MDW major Army command (MACOM), and activities receiving MDW Equal Employment Opportunity (EEO) support in accordance with servicing agreements. It covers all employees and applicants for employment in appropriated and non-appropriated fund positions.

Authority. This regulation is in compliance with the Alternative Dispute Resolution Act; Title 29 CFR, Part 1614, Federal Sector Equal Opportunity; AR 690-600; and MDW Reg 690-2.

Supplementation. This regulation may be supplemented at installation level. Proposed supplements must be submitted for approval to Commander, MDW, ATTN: ANEE-Z, 103 Third Avenue, Fort Lesley J. McNair, DC 20319-5058.

Suggested improvements. The proponent of this regulation is the Director, Equal Employment Opportunity. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) to Commander, MDW, ATTN: ANEE-Z, 103 Third Avenue, Fort Lesley J. McNair, DC 20319-5058.

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# Chapter 1 Introduction

### 1-1. Purpose

This regulation establishes the U.S. Army Military District of Washington (MDW) policies and procedures for implementation and evaluation of the Alternative Dispute Resolution (ADR) program. The primary purpose of the ADR program is to provide an appropriate and alternative technique, mediation, for early resolution of EEO discrimination complaints while ensuring the due process rights of involved parties. The ADR technique, mediation, may be employed at any stage of the administrative complaint process. This regulation delineates responsibilities for administration of the ADR program, and standardizes forms, gathering, evaluation methodology, and reporting requirements.

#### 1-2. References

Required and related publications, prescribed forms, and referenced documents are listed in appendix A.

# 1-3. Explanation of abbreviations and terms

Abbreviations and terms used in this regulation are listed in the glossary.

#### 1-4. Policy

The MDW and serviced activities will implement the ADR process, mediation, following the in-take process or the initial meeting with an EEO counselor - if it is determined that the particular complaint is appropriate for mediation and written agreement is obtained from the aggrieved employee. This early implementation of the ADR process will foster expeditious resolution of discrimination complaints at the lowest organizational level.

# 1-5. Exclusions

Class complaint allegations and allegations that have been adjudicated by the Department of Army, the Equal Employment Opportunity Commission, an U.S. District Court, or allegations settled under an official negotiated settlement agreement are

excluded from the MDW ADR program. Additionally, the EEO officer, in consultation with the labor counselor, retains the authority to determine which complaints are appropriate for mediation.

### 1-6. Nondiscrimination guidelines

The MDW EEO program is designed to provide equal employment opportunity for employees and applicants for employment and to promote a work environment free from illegal discrimination based on an individual's race, color, religion, sex (including sexual harassment), age, national origin, mental or physical disability, or reprisal for participation in a previous protected activity. The MDW ADR program will supplement, not replace, existing complaint processing procedures and other administrative redress systems.

# Chapter 2 Responsibilities

#### 2-1. Commanders and heads

Commanders and heads of all MDW MACOM elements and serviced activities will--

- a. Champion the ADR program's goals and objectives.
- b. Support the ADR program by ensuring adequate resources and personnel to implement the program.
- c. Act as the resolution/settlement official or appoint a resolution/settlement official with full authority to approve mutually agreed to settlement terms. The appointment will be in writing and in the format shown in figure 2-1.

#### 2-2. MDW EEO Director

The MDW EEO Director has been delegated staff responsibility for all EEO policy matters, and for managing, administering, and evaluating the command EEO program to include the ADR program. The EEO Director reports directly to the Commanding General through the Chief of Staff. The Director, EEO, will--

- a. Provide effective leadership and direction in the implementation of the MDW ADR program.
- b. Provide guidance and assistance to EEO personnel and appropriate officials in developing qualification criteria for identifying and selecting personnel to be trained and certified as mediators.
- c. Compile and maintain an activity-wide database on mediators to include biographical information such as primary occupation, work location, subject-matter expertise, education, related experience, and training.
- d. Schedule and provide ADR training to installation EEO personnel, labor counselors, and personnel management representatives.
- e. Conduct quarterly evaluations of the ADR program to measure overall effectiveness, successful performance indicators, and areas requiring improvement.

f. Provide status reports and command briefings on the ADR program.

# 2-3. Installation EEO officer

The installation EEO officer will--

- a. Manage and coordinate the serviced area mediation program.
- b. Ensure that ADR mediation awareness training is provided to serviced personnel.
- c. Brief leaders and participants on the ADR program. Include information on ADR program's goals and objectives in EEO training, briefings, and publications.
- d. Ensure that participants are informed of their rights and responsibilities in the ADR process and requirements for "good faith" participation. Participation in the ADR process is voluntary for aggrieved persons and mandatory for management officials.
- e. Arrange for mediators, provide logistical and administrative support, and provide the mediator a copy of the final EEO counseling report and copies of all required mediation documents and forms.
- f. Provide technical guidance and administrative assistance to the designated resolution official. Coordinate and finalize settlement agreements with appropriate staff reviews and coordination.
- g. Be readily available to the involved parties and mediator during the entire period of the scheduled mediation sessions.
- h. Complete and provide, to the command EEO director, required ADR documents and reports.

#### 2-4. EEO counselor

The EEO counselor, in addition to the functions and responsibilities set forth in governing discrimination complaint regulations and directives, will--

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a. Provide, to the aggrieved, information on the ADR mediation process, the option to voluntarily participate in the ADR process, the mediator's role, and a copy of ADR informational materials and publications.

b. Inform the aggrieved that if the mediation is successful, the terms of the agreement must be in writing and signed by both the aggrieved person and the agency. If mediation is not successful, the aggrieved will be advised that they will be given a final interview and have the right to file a formal complaint (29 C.F.R. Part 1614.603).

### 2-5. Aggrieved person

The aggrieved person, by electing to voluntarily participate in the ADR mediation process, will cooperate in the resolution efforts and signing of the negotiated settlement agreement.

# 2-6. Principal agency witness

The principal agency witness will participate, in good faith, in the mediation process, cooperate in resolution efforts, and as appropriate, sign the negotiated settlement agreement. Participation in the ADR process is mandatory for management officials.

#### 2-7. Mediator

The mediator will--

- a. Review background materials including the EEO counselor's report and schedule the mediation meeting.
- b. Describe to participants the mediation process in a clear, concise, and complete manner to include confidentiality issues and the mediator's role.
- c. Conduct the mediation and assist participants in identifying the underlying causes of the dispute, strategies to foster cooperation, and collaborative decisionmaking. Assist involved parties in drafting of settlement agreements.
- d. Terminate the mediation session and brief the EEO officer (EEOO) on proposed resolution terms or, alternatively, notify the EEOO if there are unresolved issues or if the dispute, in its entirety, is not resolvable.

e. Prepare and submit required ADR forms to the EEOO after completion of the mediation process.

#### 2-8. Installation labor counselor

The installation labor counselor will provide legal advice, reviews, and assistance to the EEO staff, resolution officials, and mediators on the proposed terms and conditions included in the draft negotiated settlement agreement.

# 2-9. Personnel management representative

The personnel management representative will provide civilian personnel guidance to the EEO staff, resolution officials, and to mediators on the proposed terms and conditions included in the draft negotiated settlement agreement.

#### 2-10. Resolution official

The resolution official, designated by the installation commander, will have full authority to approve and sign the mutually agreed to negotiated settlement agreement.

#### [USE LETTERHEAD STATIONERY]

| [Your Office Symbol] (MARKS NUMB  | ER] [Date]                                     |
|-----------------------------------|--|
| MEMORANDUM FOR [Name of Individua | 1]   |
| SUBJECT: Appointment as Resoluti  | on Official - Allegation of Discrimination<br> |
|                                   |  |

- 1. In accordance with MDW Reg 690-3, chapter 2, paragraph 2-1c, you are hereby appointed to serve as resolution official in the mediation of subject precomplaint.
- 2. [Select appropriate language] Your responsibilities as resolution official are to participate with an open mind and in good faith in the mediation process and to cooperate with the mediator and the aggrieved person in settlement efforts. The mediator will determine the persons and documents necessary for the mediation session and coordinate settlement efforts among the interested parties, including the . If there is a mutually acceptable resolution of the allegation(s), you have full authority to sign a settlement agreement for the commander without seeking further approval.

OR

You have full authority to sign a settlement agreement for me up to but not to exceed the following: [Specify scope].

3. Please contact [name], EEO Officer, at [number] for specific information about this assignment.

(Commander's Signature Block)

Figure 2-1. Appointment of Resolution/Settlement Official

# Chapter 3 EEO Discrimination Complaints

#### 3-1. General

- a. The Alternative Dispute Resolution Act (ADRA) enacted by Congress in 1990 and permanently re-authorized with amendments authorizes and encourages federal agencies to use alternative methods for dispute resolution without litigation or administrative adjudication. In the ADRA, alternative means of dispute resolution is defined as: "...any procedure that is used, in lieu of adjudication, to resolve issues in controversy, including the use of settlement negotiation, conciliation, facilitation, fact finding, mediation...or anv combination thereof...." The ADRA protects confidentiality in ADR proceedings and provides federal agencies broad discretion on the use of ADR methods.
- b. The Equal Employment Opportunity Commission's (EEOC) governing regulations, 29 Code of Federal Regulations, Part 1614, for administration of the EEO discrimination complaint process, require federal agencies to make "reasonable efforts to voluntarily settle complaints of discrimination as early as possible, in and throughout the administrative processing of complaints, including the pre-complaint counseling stage ... " Governing regulations require guick and efficient processing of discrimination complaints in a fair, balanced, and discriminatory manner. The regulations also provide for the extension of the counseling stage complaint process, from 30 to 90 days, in those instances wherein the complainant agrees to participate in an ADR program established by the agency.
- c. The MDW Alternative Dispute Early Resolution Program (ADERP) is in accordance with governing ADR statutory and regulatory policies and requirements and is incorporated into MDW's EEO discrimination complaints program.
- d. The ADERP is designed to promote early and effective resolution of employment discrimination complaints, litigation costs and time spent in the administrative process, encourage problem solving by the disputing parties, prevent the escalation of disputes into multiple complaints discrimination. reduce future complaints, improve work relationships, allow for more efficient use of staff resources, and increase involved parties trust and confidence in the EEO process.

# 3-2. Alternative Dispute Early Resolution Program (ADERP) for EEO Discrimination Complaints

- a. Mediation. The ADR process, mediation, will be used in the MDW for early resolution of discrimination complaints. Mediation, although primarily used at the pre-complaint stage, may be employed at any stage of the administrative complaint process. Participation in the mediation process, unless excluded, will be initiated upon the aggrieved's voluntary request to participate in the program. Participation in the process is voluntary for aggrieved persons, and mandatory for management officials.
- (1) Mediation is a voluntary, pre-complaint, flexible ADR process. The mediation process is an ADR technique that involves the intervention into a dispute or negotiation of a trained, impartial, and neutral third party who assists the disputing parties in collaboratively reaching an acceptable resolution of the issues in dispute.
- (2) The mediation process is initiated upon the voluntary request of the aggrieved person and is completed when a written settlement agreement is signed and dated by the involved parties, or the aggrieved person or mediator terminates the mediation process. No written records of matters discussed in the mediation sessions will be maintained or made part of any other record. Figure 3-1 shows the format for preparing the agreement to voluntarily participate in mediation agreement form.
- (3) If the mediation process does not result in resolution of the allegations raised in the precomplaint, the aggrieved will be issued the **Notice of Right to File a Formal Complaint of Discrimination-After Mediation Attempt** (fig 3-2).
- Settlement Agreements. Negotiated The settlement agreement, prior to finalization, will be reviewed by the EEO officer in consultation with the labor counselor, the designated resolution official, and as appropriate, the civilian personnel representative. All negotiated settlement agreements will include the agreed to terms and conditions for dispute specific time requirements resolution, for completion identified actions, and appropriate appeal rights. parties are informed that by signing the agreement they agree with the settlement terms and conditions, and that the signed agreement is an official and binding document.

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(1) The negotiated settlement agreement will be signed and dated by the involved parties and the resolution official. The settlement agreement will be prepared in triplicate, with original signatures. Each participant and the EEOO will be provided a signed copy of the agreement.

- (2) A sample negotiated settlement agreement is shown in figure 3-3.
- c. Confidentiality. A basic provision of the ADRA requires confidentiality in the mediation. Involved parties must feel free to candidly discuss the issues in dispute and trust that the matters and discussions will be held in confidence.
- (1) Confidentiality ensures that statements made or sensitive information provided by either party are privileged and shall not, in most cases, be disclosed outside of the mediation sessions or in any subsequent proceedings.
- (2) Protected communications involve the verbal exchange of information among the involved parties and the mediator. Also protected are "settlement documents" that include any written materials, notes, and memoranda that are provided in confidence or generated by the mediator or by the involved parties for the purpose of problem resolution. Existing documents that would otherwise be available for use in other forums are not rendered unusable if they are brought to the mediation session and discussed. The mediator will destroy all notes or records of the mediation sessions.
- d. Representation. Any party in the dispute may have a representative of his or her choosing during the mediation session, excluding those persons who, because of their occupations and conditions of employment, are identified as having an inherent conflict of interest. If the aggrieved chooses a union steward/official as his or her representative, the union official may only serve as the aggrieved's personal representative, not as an official union representative. Upon request, the servicing EEOO will provide detailed information and clarification on representation issues and reasons for exclusion. As appropriate, the EEOO will consult and coordinate representation matters with the labor counselor.

# 3-3. Mediators' Qualifications

Mediators should have requisite training and experience to ensure that the mediation is conducted in a professional, impartial, and effective manner. Qualification criteria for MDW approved mediators are:

- a. The neutral (mediator) has been certified as successfully completing an MDW approved mediation skills course.
- b. The mediator has co-mediated at least three cases with a qualified, experienced neutral or has independently mediated five cases and received positive evaluations from a qualified trainer/evaluator.
- c. The mediator can provide at least two references from two qualified co-mediators or trainers/evaluators.
- d. The mediator has been certified by another federal agency and meets  $\mbox{MDW}'\mbox{s}$  qualification requirements.
- e. In lieu of certificates and letters on the above qualification requirements, the command EEO officer can attest that the mediator has completed an approved mediation training program or related skills training, has broad negotiation skills, and other relevant experiences that meet the qualifications criteria.

#### AGREEMENT TO VOLUNTARILY PARTICIPATE IN MEDIATION AGREEMENT

#### A. I accept mediation. ( Initial if accepted)

By signature below, the aggrieved employee voluntarily agrees to participate in mediation and extend counseling for an additional 60 calendar days. The allegations raised in the precomplaint process will be those submitted for attempted resolution by mediation, unless specifically excluded in writing.

All parties understand that participation in mediation is voluntary for the aggrieved person and that the aggrieved person may terminate mediation at any time. In addition, it is understood that the mediator retains authority to terminate mediation at any time.

The parties further understand that the mediator has no authority to make decisions on issues raised or act as an advocate or representative for either party. The aggrieved person may consult with a designated representative, selected by the aggrieved at no cost to the government, for the purpose of review prior to signing a settlement agreement.

Each party agrees not to subpoena or request as a witness any mediator, or request or use as evidence any materials prepared by the mediator for use during mediation with the exception of the signed settlement agreement. In no event will the mediator voluntarily serve as a witness or testify on behalf of either party in any future processing of this complaint or submit any type of report regarding the mediation other than as required by this Regulation.

If there are unresolved disputes at the close of mediation, the mediator and the aggrieved person will state these disputes on the memorandum for record during the final mediation session. The aggrieved person understands that unresolved issues may be submitted through the discrimination complaint process. If any issues remain unresolved, the aggrieved person will be issued a Notice of Right to File a Discrimination Complaint upon termination of the mediation process or on the 60th day of extended counseling, whichever comes first.

B. I decline mediation and do not agree to extend counseling.[\_\_Initial if declined)

(Aggrieved Person (Signature & Date)

Figure 3-1. Agreement to Voluntarily Participate in Mediation Format

#### [LETTERHEAD]

[Your Office Symbol] (MARKS NUMBER]

[Date]

MEMORANDUM FOR (Name of aggrieved person)

SUBJECT: Notice of Right to File a Formal Complaint of Discrimination-After Mediation Attempt [DA Docket Number]

- 1. This serves as notice that on date, mediation was terminated on your informal complaint as the issue(s) giving rise to your complaint (was) (were) not resolved to your satisfaction. Your initial contact with an Equal Employment Opportunity (EEO) official was on date and my initial interview with you was on date. By electing to participate in mediation, you voluntarily extended the counseling perod for for mediation up to 60 calendar days. You alleged that you were discriminated against on date (of alleged discrimination) because of your basis/bases when (brief summary of matters of the complaint).
- 2. If you believe that you have been discriminated against on the basis of race, color, religion, sex, national origin, age, mental/physical disability and/or reprisal for participation in protected EEO activity or opposition to prohibited discrimination, you have the right to file a formal complaint of discrimination within 15 calendar days of receipt of this notice.
- 3. This complaint must be in writing, preferably on a DA Form 2590-R (Notice of Right to File a Formal Complaint of Discrimination), which can be obtained from your Equal Employment Opportunity Office. Your complaint must be filed in person by you or your attorney, if you retained one, or by mail with any of the following officials:
  - a. Installation commander (Provide address)
  - b. Installation EEO officer (Provide address)
  - c. Secretary of the Army ATTN: SAMR-SFECR 1941 Jefferson Davison Highway, Suite 109B Arlington, VA 22202-4508

Figure 3-2. Notice of Right to File a Formal Complaint of Discrimination-After Mediation Attempt

[Your Office Symbol]

SUBJECT: Notice of Right to File a Formal Complaint of Discrimination-After Mediation Attempt [DA Docket Number]

- 4. The formal complaint must specify the issue(s) which form(s) the basis of the complaint and the matter(s) giving rise to the complaint which (was) (were) recorded on the Initial Contact and/or Counseling Session for Complaint of Discrimination and any addendum executed thereafter during the mediation session. It is important that you state the matter(s) giving rise to your complaint as concisely as you can, citing the nature of the action, the date of the action, the person(s) involved (if appropriate). You may only raise matter(s), that were discussed during mediation or are like or related to those matters discussed during mediation. The complaint should also state whether you have filed a grievance under a Negotiated Grievance Procedure or an appeal to the Merit System Protection Board, on the same subject matter, including dates. This information is necessary to determine whether your complaint is appropriate for processing under Title 29, Code of Federal Regulations, section 1614.
- 5. If you retain an attorney or any other person as a representative, you must immediately notify the EEO officer, <u>address</u>, in writing of the name, address, and telephone number of your attorney or non-attorney representative. You are advised that:
- a. If your representative is not an attorney, all official correspondence, documents, and decision(s) for you will be served on your representative with a copy to you.
- b. If your representative is an attorney, all official correspondence, documents, and decision(s) for you will be served on your attorney and not you.
- 6. You may contact the EEO office at  $\underline{\text{telephone number}}$  if you have any questions or need assistance.

(Signature Block)

Figure 3-2. Notice of Right to File a Formal Complaint of Discrimination-After Mediation Attempt - Continued

#### NEGOTIATED SETTLEMENT AGREEMENT IN THE COMPLAINT OF

(first name, middle initial, last name of complainant)

Complainant

ν

(insert name), Secretary of the Army
(insert name of activity such as US Army Garrison, US Army Engineer
 Division, etc.)
(insert name or location of activity such as Fort Meade, Maryland, Dallas,
Texas, etc.)

Activity

1. In the interest of promoting the principles or the Equal Employment Opportunity (EEO) Program, the Parties agree to settle the following complaint(s) on the terms shown in paragraphs 3 and 4 below.

DA Docket Number(s)

- 2. By entering into this settlement, the Army does not admit that the Army, any Army official or employee has violated Title VII of the Civil Rights Act of 1964, as amended, the Rehabilitation Act of 1973, as amended, the Age Discrimination in Employment Act as amended, the Equal Pay Act or any other Federal or State statue or regulation.
- 3. The Army agrees to:

stipulate remedy to be provided in clear and concise detail, the process by which remedy is to be accomplished, and specify time frames for completion.

4. The complainant agrees to:

stipulate terms clearly and concisely and specify time frames for completion, if appropriate.

Figure 3-3. Negotiated Settlement Agreement

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5. Complainant's signature on this agreement constitutes a full and complete settlement of any and all issues and claims arising from the circumstances of the aforementioned EEO complaint(s). This includes but is not limited to, attorney fees and/or costs arising from or related to the aforementioned complaint(s). No other agreements shall be binding unless signed by all parties. In addition, the complainant agrees to waive his/her right to pursue administrative or judicial action in any forum concerning the matters raised in this complaint and that they will not be made the subject of future litigation.

- 6. If the complainant believes that the Army has failed to comply with the terms of this settlement agreement, the complainant shall notify the Director, Equal Employment Opportunity Compliance and Complaints Review Agency (EEOCCRA), ATTN: SAMR-SFECR, 1941 Jefferson Davis Highway, Suite 1098, Arlington, Virginia 22202+4508, in writing, of the alleged noncompliance within 30 calendar days of when the complainant knew or should have known of the alleged noncompliance. A copy should also be sent to the activity EEO Officer.
- 7. The complainant may request that the terms of the settlement agreement be specifically implemented or, alternatively, the complaint be reinstated for further processing from the point processing ceased. If the Director, EEOCCRA, has not responded to the complainant in writing, or if the complainant is not satisfied with the attempts to resolve the matter, the complainant may appeal to the Equal Employment Opportunity Commission (EEOC) for a determination as to whether the Army has complied with the terms of this settlement agreement. The complainant may file such an appeal to the EEOC 35 calendar days after service of the allegation of noncompliance upon EEOCCRA but no later than 30 calendar days after receipt of the Army determination.
- 8. The terms of this settlement will not establish any precedent nor will the settlement be used as a basis by the complainant or any representative organization as justification for similar terms in any subsequent case.
- 9. I have read the negotiated settlement agreement and agree to accept its provisions.

Figure 3-3. Negotiated Settlement Agreement - Continued

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Complainant

For the Army

Date signed by complainant

Title of Army official

Date signed by Army official

Complainant's attorney, if represented by an attorney

Date signed by complainant's attorney

Figure 3-3. Negotiated Settlement Agreement - Continued

# Chapter 4 ADERP Schedule and Reporting Procedures

#### 4-1. ADERP schedule

# a. Counseling.

- (1) At the initial meeting with the aggrieved, the EEO counselor will provide the aggrieved information on the mediation process and procedures. Upon completion of the initial interview and the aggrieved's voluntary request to participate in the mediation process, the counselor will consult with the EEOO or designee to determine if issues raised are appropriate for mediation. If mediation is appropriate, the EEOO will coordinate required actions and schedule the mediation session within 5 calendar days.
- The MDW Form (2) 452-R-E (Initial Contact Counseling Session for Informal Complaint of Discrimination) (fig 4-1), Addendum to the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination (fig 4-2), if and of Offer Informal Counseling/Alternative Dispute Resolution (ADR) (fig 4-3) will be prepared and signed by the aggrieved person and EEO official. The MDW Form 452-R-E will be reproduced locally on 8-1/2 by 11-inch paper. A copy of the form for local reproduction is located at the back of this regulation.
- (3) If the aggrieved declines to participate in the ADERP process, the counselor will conduct and complete the traditional counseling inquiry on or before the 30<sup>th</sup> day from the date of the initial contact and provide the aggrieved a Notice of Right to File a Discrimination Complaint.

### b. Post-counseling.

(1) Subsequently, if the aggrieved elects to participate in the ADERP, the EEOO will review the final EEO counseling report to determine suitability for processing under the ADERP's mediation process. Within 3 calendar days after receipt and review of the final counseling report and the aggrieved's written request to participate in the ADERP, the EEOO will assign a mediator and provide a copy of the final EEO counseling report and related documents.

(2) Throughout the administrative complaint process, the aggrieved may elect to participate in the ADERP. The EEOO will generally offer mediation in all cases unless the complaint involves allegations that are excluded from the ADERP.

# c. Exclusions. Excluded are complaints wherein:

- (1) The complaint concerns an allegation of class discrimination.
- (2) The complaint concerns discriminatory allegations, that have been previously adjudicated by the Department of Army, the Equal Employment Opportunity Commission, an U.S. District Court, or settled under a MDW negotiated settlement agreement.
- (3) The complaint involves discriminatory allegations that the EEOO, in consultation with the labor counselor, have excluded from the ADERP.

#### d. Mediation.

- (1) The mediator in consultation with the EEOO will schedule the mediation no later than  $\bf 5$  calendar days after agreeing to conduct mediation.
- (2) Mediation will, generally, be completed within 2 to 3 workdays and, except in unusual situations, will not extend beyond 10 workdays from the start of the mediation process. In all cases, the mediator must conclude the mediation process within 60 calendar days from the date counseling was extended. The mediator will immediately inform the EEOO of potential processing delays and obtain guidance on appropriate action.
- e. Conclusion of mediation. Mediation is concluded when one of the following occurs:
- (1) A written negotiated settlement agreement is coordinated with the EEOO and appropriate officials and signed and dated by involved parties and the resolution official.
- (2) The aggrieved requests that the mediation session be terminated. After the aggrieved's termination request, the EEOO will issue the aggrieved the Notice of Right to File a Discrimination Complaint.

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(3) The mediator terminates the mediation process after concluding that continuation of the mediation is not in the best interest of the MDW or other valid reasons. The mediator will brief the EEOO on reasons for early termination, complete required forms, and provide to the EEO officer.

- (4) After completion of the mediation session, the mediator will brief the EEOO on the results of the mediation, including proposed settlement terms, unresolved issues, if any, other remedial actions, and will complete the MDW Form 453-R-E (Unresolved Issues After Mediation) and MDW Form 454-R-E (Mediator's Evaluation). The mediator will destroy all notes or records of the mediation sessions. For examples of completed mediation forms see figures 4-4 and 4-5, respectively. The MDW Form 453-R-E and MDW Form 454-R-E will be reproduced locally on 8-1/2 by 11-inch paper. Copies of the forms for local reproduction are located at the back of this regulation.
- (5) The installation EEO officers will ensure that required ADERP documents are completed by appropriate individuals. Information obtained from the required documents will be analyzed and evaluated for determination of ADERP's effectiveness. (See figure list.)

#### 4-2. ADERP evaluation

After completion of mediation, the following documents will be completed: MDW Form 455-R-E (Participant's Evaluation) and MDW Form 456-R-E (EEO Officer's Evaluation). (See fig 4-6 and 4-7 for samples of these completed ADERP evaluation forms.) The MDW Form 455-R-E and MDW Form 456-R-E will be reproduced locally on 8-1/2 by 11-inch paper. A copy of the forms for local reproduction is located at the back of this regulation.

### 4-3. ADERP reporting

a. The installation and serviced activities' EEO officers will prepare and submit quarterly ADERP reports to the command EEO officer using MDW Form 457-R-E (ADERP Quarterly Report For The Quarter of \_\_\_\_\_\_) (RCS MDW 001-00). The reports are due no later than the  $10^{th}$  day following the end of each quarter. The ADERP report format and instructions will be provided by the MDW EEO Director.

b. A sample copy of a completed MDW Form 457-R-E is at figure 4-8. The MDW Form 457-R-E will be reproduced locally on 8-1/2 by 11-inch paper. A copy of the form for local reproduction is located at the back of this regulation. Additionally, MDW Form 457-R-E may be electronically generated. Users that have automated capability may capture the data elements of MDW Form 457-R-E and maintain the information on an automated system in lieu of using the printed form.

# INITIAL CONTACT AND/OR COUNSELING SESSION FOR INFORMAL COMPLAINT OF DISCRIMINATION

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

# **PRIVACY ACT STATEMENT**

AUTHORITY: Federal Sector Equal Employment Opportunity, 10 U.S.C. 3013(g) and 42 U.S.C. 2000e (a) and (b).

PURPOSE AND USE: The purpose of this form is to provide information concerning unresolved issues remaining after completion of the mediation process. The form will be used by the EEO Officer to analyze the types of issues,if any, that mediation has not been able to resolve and/or to assign new issues to an EEO Counselor should you decide to pursue the issues further in the administrative discrimination complaint system.

DISCLOSURE: Personal information provided on this form is given voluntarily. Failure to provide this information, however, may result in the form being completed from other available sources without your participation.

Date 24 Jan 00 DA Docket Number BGASPI0001G0120

PART I: BACKGROUND:

NAME: JORDAN, MONTELL L.

(Last, First, Middle Initial)

SSN: 123-45-6789

**ORGANIZATION ASSIGNED TO:** 

DIRECTORATE OF RESOURCE MGMT FORT MYER MILITARY COMMUNITY HOME ADDRESS: 456 JORDAN STREET

WASHINGTON, DC 20319

**WORK TELEPHONE:** 

703-888-0000

HOME TELEPHONE:

202-777-0000

PART II: BASIS OF COMPLAINT: (Identify specific race, color, religion, national origin, disability, age or reprisal if alleged.)

RACE:

DISABILITY: Physical, Mental

COLOR:

SEX: Male X Female []

**RELIGION:** 

AGE:

NATIONAL ORIGIN:

REPRISAL:

MDW FORM 452-R-E, FEB 00

Figure 4-1. Sample of a completed MDW Form 452-R-E

PART III: <u>INCIDENT GIVING RISE TO VISIT/CONTACT</u> (Who, What, When, Where, Dates) Use separate sheet of paper if necessary.

ON 21 JAN 00 I SUBMITTED MY DD 1556 TO MY SUPV, MR. KEVIN EDMONDS, GS-13, BUDGET OFFICER, DRM FORT MYER, TO ATTEND A BUDGET TRAINING CLASS TO BE HELD AT FORT MCNAIR 27 JAN 00 AND WAS DENIED. ALL THE OTHER FEMALES IN THE OFFICE WERE ALLOWED TO TAKE THE TRAINING, BUT I WAS NOT. ALL THE OTHER FEMALES HAVE AN IDP AND I DO NOT. I BELIEVE MR. EDMONDS IS DISCRIMINATING AGAINST ME BECAUSE OF MY SEX (MALE).

#### NAME AND ADDRESS OF ALLEGED DISCRIMINATING ORGANIZATION:

DIRECTORATE OF RESOURCE MANAGEMENT
444 MYER STREET
FORT MYER, VA 22209

#### PART IV: RELIEF SOUGHT:

TO ATTEND THE NEXT SCHEDULED BUDGET TRAINING CLASS FOR 10 FEB 00 AND HAVE AN IDP DEVELOPED FOR MY TRAINING NEEDS.

# PART V: SUMMARY:

The complainant agrees by initialing the following subject areas that the complaint process and/or Alternate Dispute Resolution (ADR) program has been discussed and/or provided:

| Explained the role of the EEO counselor.   | <u> </u> |  |  |  |
|--|----------|--|--|--|
| Informed of basis (es) for filling an informal and formal individual or class complaint, | 4        |  |  |  |
| and right to file.   | X        |  |  |  |
|  |          |  |  |  |
| Explained the individual or class complaint process.                                     | <b>x</b> |  |  |  |
| ,  | . •      |  |  |  |
| Issued avenues of redress.   | <u>×</u> |  |  |  |
|  |          |  |  |  |
| Informed of rights and responsibilities.   | X        |  |  |  |

MDW FORM 452-R-E, FEB 00

PAGE 2 of 3

Figure 4-1. Sample of a completed MDW Form 452-R-E Continued

| Informed of 45-day requirement from effective date of personnel action or of the date of the matter alleged to be discriminatory to contact EEO Counselor. | <b>x</b>  |
|--|---|
| Informed of requirement to notify EEO office of non-attorney representation in writing with address and telephone number.                                  | X   |
| Notified of requirement of attorney's submission of billing requirements at formal stage.  | x   |
| Informed of witness (es) rights.   | x   |
| Explained ADR Program.   | X   |
| Offered informal counseling/ADR.   | <b>x</b>  |
| PART VI: <u>OUTCOME</u> :  |   |
| Contact resulted in the election of:   | [ ] traditional counseling.                       |
|  | M ADR.  |
|  | [ ] declination to pursue matter under Title VII. |
| Name of assigned EEO counselor/mediator Gladys Knight  |   |
| Date EEO counselor/mediator assigned2  | Jan 00  |
| At this time (aggrieved to initial one):  I elect to remain anonymous.  _X I waive my right to remain anonymous.   |   |
| Aggrieved person   | EEO official<br>Title of EEO official             |
|  |   |

MDW FORM 452-R-E, FEB 00

PAGE 3 of 3

Figure 4-1. Sample of a completed MDW Form 452-R-E Continued

[DA Docket Number] [Date] MEMORANDUM FOR (Name of EEO officer) SUBJECT: Addendum to Initial Contact and/or Counseling Session for Informal Complaint of Discrimination 1. The following matters, in addition to those previously identified in the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination, dated were identified during the formal counseling or ADR process: 2. I certify that I have received a copy of this addendum to the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination. Aggrieved person EEO counselor/mediator

Figure 4-2. Addendum to the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination

| [DA Docket Number]  | Date   |
|---|--|
| MEMORANDUM FOR (Name of EEO official)   |  |
| SUBJECT: Offer of Informal Counseling Resolution (ADR)  | /Alternative Dispute   |
| 1. I certify that I have been advised   | of:  |
| a. my right to anonymity during i understand anonymity will not apply sh in the ADR program instead of informal counselor (initial only one) h permission to use my name.   | ould I elect to participate<br>counseling. The EEO   |
| b. my right to representation dur complaint process. I understand I must by separate letter to the Equal Employ Officer. I understand that if I ident representative, all official correspondecision(s) shall be served on the non with a copy to me. I also understand is an attorney all documents will be snot me. If there is any change in repprocess, I understand that I must notin writing. | t designate my representative ment Opportunity (EEO) ify a non-attorney dence, documents, and -attorney representative, that if my representative erved on the attorney and resentation during the |
| c. my responsibility to keep the Employment Opportunity Commission info immediately, and that my failure to do dismissal.   | rmed of a change of address  |
| 2. I certify that an EEO official has between informal (traditional) counsel use of the ADR program. I also unders ADR procedures, the time can be extend from the date I initial   | ing and the procedures for<br>tand that if I elect to use<br>ed for not more than 90 days  |
| 3. I have elected to use (initial onl counseling or ADR procedures.   | y one) informal  |

Figure 4-3. Offer of Informal Counseling or Alternative Dispute Resolution (ADR)

[DA Docket Number]

SUBJECT: Offer of Informal Counseling/Alternative Dispute

Resolution (ADR)

4. I understand that the matters identified on the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination with an EEO will be the subject of the EEO counselor's inquiry, should I elect traditional counseling. However, if I elect to participate in the ADERP mediation process, I understand that the matters discussed during the counseling intake procedure and recorded on the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination will be provided to the Equal Employment Opportunity officer for review and acceptance prior to initiation of the ADERP mediation process. The Initial Contact and/or Counseling Session for Informal Complaint of Discrimination also serves as the Final EEO Counseling Report.

- 5. I further understand that if the ADERP mediation process concludes without a resolution, or if the matter has not been resolved within ninety (90) days from the initial contact with the EEO counselor, the appropriate EEO official will conduct a final interview and issue me a Notice of Right to File a Formal Complaint of Discrimination.
- 6. I understand that if additional matters are disclosed during either the ADR process or traditional counseling, I must execute an Addendum to the Initial Contact and/or Counseling Session for Informal Complaint of Discrimination which will be subsequently used by the EEO officer in determining whether or not to accept and/or dismiss any subsequent filing of a formal complaint of discrimination. I further understand that any written note taking or audio-recording by me during the ADR process is prohibited.
- 7. I certify that I have received a copy of this memorandum.

Aggrieved person

EEO official Title of EEO official

Attachment:

Aggrieved Person's Rights and Responsibilities Notice

# UNRESOLVED ISSUES AFTER MEDIATION

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

#### PRIVACY ACT STATEMENT

AUTHORITY: Federal Sector Equal Employment Opportunity, 10 U.S.C. 3013(g) and 42 U.S.C. 2000e (a) and (b).

PURPOSE AND USE: The purpose of this form is to provide information concerning unresolved issues remaining after completion of the mediation process. The form will be used by the EEO Officer to analyze the types of issues, if any, that mediation has not been able to resolve and/or to assign new issues to an EEO Counselor should you decide to pursue the issues further in the administrative discrimination complaint system.

ROUTINE USE: Information may be shared with law enforcement agencies if the information in this document indicates a violation or potential violation of law; with a congressional office in response to an inquiry made at your request; with foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by international agreements; with the Office of Personnel Management (OPM) to carry out its legally authorized personnel management functions and studies; with any component of the Department of Justice for the purpose of representing the Department in pending or potential litigation; with the Merit Systems Protection Board (MSPB), including the Office of the Special Counsel for the purpose of litigation, administrative proceedings and appeals.

**DISCLOSURE:** Personal information provided on this form is given voluntarily. Failure to provide this information, however, may result in the form being completed from other available sources without your participation.

| (Note: Before comple               | eting this form, direct the aggrieved person to read Privacy Act Statement). |
|------------------------------------|--|
| Name: Montell                      | Jordan   |
| DCPDS CATS NO                      | BGASPI00001G0120   |
| DESCRIBE THE ALI<br>MEDIATION: N/A | LEGED DISCRIMINATORY ACTION (S) / ISSUE (S) NOT RESOLVED DURING              |
|                                    |  |
|                                    |  |
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MDW FORM 453-R-E, FEB 00

Figure 4-4. Sample of a completed MDW Form 453-R-E

\_Montell Jordan 27 Jan\_00
Aggrieved Person (Signature and Date)

Barry White 27 Jan 00
EEO Officer (Signature and Date)

MDW FORM 453-R-E. FEB 00 (Back)

Figure 4-4. Sample of a completed MDW Form 453-R-E Continued

# **MEDIATOR'S EVALUATION**

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

The Military District of Washington is interested in your comments/observations about the mediation process in which you have just participated. Completion of this evaluation will assist us greatly in evaluating how well the program works and to identify areas where the program can be improved.

|            | OU FOR YOUR ASSISTANCE!  how satisfied were you with the r  | ediation? (mark one)          |   |
|------------|---|-------------------------------|---|
| x          | Extremely Satisfied Highly Satisfied Satisfied Satisfied Slightly Dissatisfied Dissatisfied   | ·                             |   |
| _          | ou satisfied with the logistical support of | ort provided?                 |   |
| 3. Were yo | ou satisfied with the administrative No (Please explain).   | support provided?             |   |
|            |   |                               | _ |
|            |   | participation in the process? |   |
| *          |   |                               |   |

MOW FORM 454-R-E, FEB 00

Figure 4-5. Sample of a completed MDW Form 454-R-E

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|  | Gladys Knight |  |
|  | Mediator      |  |
|  |               |  |
|  | 27 Jan 00     | -  |
|  | Date          |  |
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Figure 4-5. Sample of a completed MDW Form 454-R-E Continued

MOW FORM 455-R-E, FEB 00

# PARTICIPANT'S EVALUATION For use of this form, see MDW Reg 690-3, the proponent agency is EEO The Fort Myer EEO Officer is interested in your 27 January 2000 Comments/observations about the mediation process in which you have just participated. Your completing this questionnaire will assist us greatly in evaluating how well the program works and help us identify areas where the program can be improved. THANK YOU FOR YOUR ASSISTANCE! 1. Overall, how satisfied were you with the mediation? (mark one) \_\_\_\_x\_\_\_ Extremely Satisfied \_\_\_\_ Highly Satisfied \_\_\_\_\_ Satisfied \_\_\_\_\_ Slightly Dissatisfied \_\_\_\_\_ Dissatisfied Explain: 2. Was the mediation process clearly explained to you? Yes \_\_x\_\_ No \_\_\_\_ (Please check one). 3. Would you use ADEPR Mediation again to resolve a dispute? Yes \_\_x No \_\_ (Please check one).

Figure 4-6. Sample of a completed MDW Form 455-R-E

| Yesx                                  | No                                    | (Pleas       | e check one  | e).                |   |             |   |                                       |
|---------------------------------------|---------------------------------------|--------------|--------------|--------------------|---|-------------|---|---------------------------------------|
| Explain: _                            |                                       |              |              |                    | · |             |   |                                       |
|                                       | · · · · · · · · · · · · · · · · · · · |              |              |                    |   |             |   |                                       |
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| 6. Your role                          | in mediation                          | was:         |              |                    |   |             |   |                                       |
|                                       | Aggrieved Pe                          |              |              |                    |   |             |   |                                       |
|                                       |                                       |              |              |                    |   |             |   |                                       |
|                                       | Aggrieved Pe                          |              | presentative | •                  |   |             |   |                                       |
|                                       | Managemen                             | t Official   |              |                    |   |             | - |                                       |
|                                       | Principal Age                         | ency Witne   | ss           |                    |   |             |   |                                       |
|                                       | Resolution O                          | fficial      |              |                    |   |             |   |                                       |
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Figure 4-6. Sample of a completed MDW Form 455-R-E Continued

| For use of this form, see MDW Ro   | eg 690-3, the proponent agency is EEO                   |
|--|---|
| DRGANIZATIONDirectorate of Resource  |   |
| 13 7   |   |
| i. Name of Aggneved.   |   |
| 2. DCPDS CATS No: BGASPI00001G0120 3. Name of Mediator: Gladys Knight  |   |
| 4. Date Mediation Started: 27 Jan 00   |   |
| 5. Date Mediation Completed: 27 Jan 00   |   |
| 6. Processing Costs:N/A  |   |
| 7. Resolution Costs: (By type) N/A   | uched   |
| 3. Outcome/Remarks: Settlement rea   | Louised.  |
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|  | ess to include recommendations, if any, for preventive  |
| action, lessons learned, etc.)   |   |
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| action, lessons learned, etc.)   |   |
| action, lessons learned, etc.)  Settlement agreement reached; all issues.  |   |
| Settlement agreement reached; all issues   | ues resolved.   |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |
| action, lessons learned, etc.)  Settlement agreement reached; all issues.  | ues resolved.  27 Jan 00                                |
| action, lessons learned, etc.)  Settlement agreement reached; all issues the settlement agreement agreement reached; all issues the settlement reached; all issues the sett | ues resolved.  27 Jan 00                                |
| action, lessons learned, etc.)  Settlement agreement reached; all issues the settlement agreement agreement reached; all issues the settlement reached; all issues the sett | ues resolved.  27 Jan 00                                |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |
| Settlement agreement reached; all issues   | ues resolved.  27 Jan 00                                |

MDW FORM 456-R-E, FEB 00

Figure 4-7. Sample of a completed MDW Form 456-R-E

|                       | For             | QUA               | QUARTERLY RTER OF rm, see MDW 1 |                         | FOR THE                          |     | IT CONTROL SYMBOL<br>DW-001-00   |
|-----------------------|-----------------|-------------------|---------------------------------|-------------------------|----------------------------------|-----|----------------------------------|
| AGGRIEVED<br>NAME/ORG | CATS            | MEDIATION<br>DATE | CONCILIATION<br>DATE            |                         | MEDIATORS NAME<br>& PHONE NUMBER | NSA | IF UNRESOLVED<br>DATE RTF ISSUED |
| Tish Ash, EEO         | BGASP19905H0123 | 2/7/99            | 2/7/99                          | Race(blk)/<br>Promotion | Tish Ash, (xxx)<br>888-8888      | No  | 3/ 12/99                         |
|                       |                 |                   |                                 |                         |                                  | ,   |                                  |
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Figure 4-8. Sample of a completed MDW Form 457-R-E

# Appendix A References

#### Section 1 Required Publications

#### AR 690-600

Equal Employment Opportunity Discrimination Complaints

#### MDW Reg 690-2

Equal Employment Opportunity Program

#### Section II

#### Related Publications

Equal Employment Opportunity Federal Sector Complaints Commission's Management Processing Manual Directive 110

#### Section III

Prescribed Forms

#### MDW Form 452-R-E

Initial Contact and/or Counseling Session for Informal Complaint of Discrimination

#### MDW Form 453-R-E

Unresolved Issues after Mediation

#### MDW Form 454-R-E

Mediator's Evaluation

#### MDW Form 455-R-E

Participant's Evaluation

#### MDW Form 456-R-E

EEO Officer's Evaluation

#### MDW Form 457-R-E

ADERP Quarterly Report for the Quarter of (RCS MDW-001-00)

MDW Reg 690-3 1 May 2000

# Section III Statutes

1990 Alternative Dispute Resolution, permanently reauthorized with amendments in 1996.

29 Code of Federal Regulations, Part 1614, Federal Sector Equal Employment Opportunity.

Equal Employment Opportunity Commission's governing regulations, Part 1614, Chapter 2

MOTE: The above required and related publications are available from the MDW EEO Directorate, ATTN: ANEE, Fort Lesley J. McNair, Washington, DC 20319-5058. Prescribed forms may be locally reproduced or electronically generated. A copy of each form for local reproduction on 8-1/2- by 11-inch paper is located at the back of this regulation.

#### Glossary

#### ADERP

Alternative Dispute Early Resolution Program

#### ADR

Alternative Dispute Resolution

#### CFR

Code of Federal Regulations

#### EEO

Equal Employment Opportunity

#### **EEOC**

Equal Employment Opportunity Commission

#### MACOM

major Army command

#### MDW

U.S. Army Military District of Washington

## INITIAL CONTACT AND/OR COUNSELING SESSION FOR INFORMAL **COMPLAINT OF DISCRIMINATION**

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

### PRIVACY ACT STATEMENT

AUTHORITY: Federal Sector Equal Employment Opportunity, 10 U.S.C. 3013(g) and 42 U.S.C. 2000e (a) and (b).

PURPOSE AND USE: The purpose of this form is to provide information concerning unresolved issues remaining after completion of the mediation process. The form will be used by the EEO Officer to analyze the types of issues, if any, that mediation has not been able to resolve and/or to assign new issues to an EEO Counselor should you decide to pursue the issues further in the administrative discrimination complaint system.

| <b>DISCLOSURE:</b> Personal information provided on this form is given volunt however, may result in the form being completed from other available sources | tarily. Failure to provide this information, s without your participation. |
|--|--|
|  | Date<br>DA Docket Number   |
| PART I: BACKGROUND:  |  |
| NAME:<br>(Last, First, Middle Initial)   | SSN:   |
| ORGANIZATION ASSIGNED TO:  | HOME ADDRESS:  |
| WORK TELEPHONE:  | HOME TELEPHONE:  |
|  |  |
| PART II: BASIS OF COMPLAINT: (Identify specific race, color, relidisability, age or reprisal if alleged.)  | gion, national origin,   |
| RACE:  | DISABILITY: Physical, Mental   |
| COLOR:   | SEX: Male [] Female []   |
| RELIGION:  | AGE:   |
| NATIONAL ORIGIN:   | REPRISAL:  |
| DW FORM 452-R-E, FEB 00  |  |

| PART III: INCIDENT GIVING RISE TO VISIT/CONTACT   |                                     |
|---|-------------------------------------|
| separate sheet of paper if necessary.   | (Who, What, When, Where, Dates) Use |
|   |                                     |
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| PART IV: RELIEF SOUGHT:   |                                     |
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| DADT V. CHAMAADV.   |                                     |
| PART V: <u>SUMMARY</u> :  |                                     |
|   |                                     |
| The complainant agrees by initialing the following subject  | t areas that the complaint process  |
| and/an Altamata Diagram to Double (ADD)   |                                     |
| and/or Alternate Dispute Resolution (ADR) program has   | been discussed and/or provided:     |
| and/or Alternate Dispute Resolution (ADR) program has   | been discussed and/or provided:     |
| and/or Alternate Dispute Resolution (ADR) program has   | been discussed and/or provided:     |
|   | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  | been discussed and/or provided:     |
|   | been discussed and/or provided:     |
|   | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint,  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint,  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint,  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.   | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint,  | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.   | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.   | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.   | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.  Explained the individual or class complaint process. | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.  Explained the individual or class complaint process. | been discussed and/or provided:     |
| Explained the role of the EEO counselor.  Informed of basis (es) for filling an informal and formal individual or class complaint, and right to file.  Explained the individual or class complaint process. | been discussed and/or provided:     |

MDW FORM 452-R-E, FEB 00

| Informed of 45-day requirement from effective date of personnel action or of the date of the matter alleged to be discriminatory to contact EEO Counselor. | · · · · · · · · · · · · · · · · · · ·             |
|--|---|
| Informed of requirement to notify EEO office of non-attorney representation in <b>writing</b> with address and telephone number.                           |   |
| Notified of requirement of attorney's submission of billing requirements at formal stage.  |   |
| Informed of witness (es) rights.   | · · · · · · · · · · · · · · · · · · ·             |
| Explained ADR Program.   |   |
| Offered informal counseling/ADR.   |   |
| PART VI: OUTCOME:  |   |
| Contact resulted in the election of:   | [ ] traditional counseling.                       |
|  | [ ] ADR.  |
|  | [ ] declination to pursue matter under Title VII. |
| Name of assigned EEO counselor/mediator  |   |
| Date EEO counselor/mediator assigned   |   |
| At this time (aggrieved to initial one):  I elect to remain anonymous.  I waive my right to remain anonymous.  |   |
| Aggrieved person   | EEO official Title of EEO official                |

#### **UNRESOLVED ISSUES AFTER MEDIATION**

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

#### PRIVACY ACT STATEMENT

AUTHORITY: Federal Sector Equal Employment Opportunity, 10 U.S.C. 3013(g) and 42 U.S.C. 2000e (a) and (b).

**PURPOSE AND USE:** The purpose of this form is to provide information concerning unresolved issues remaining after completion of the mediation process. The form will be used by the EEO Officer to analyze the types of issues, if any, that mediation has not been able to resolve and/or to assign new issues to an EEO Counselor should you decide to pursue the issues further in the administrative discrimination complaint system.

ROUTINE USE: Information may be shared with law enforcement agencies if the information in this document indicates a violation or potential violation of law; with a congressional office in response to an inquiry made at your request; with foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by international agreements; with the Office of Personnel Management (OPM) to carry out its legally authorized personnel management functions and studies; with any component of the Department of Justice for the purpose of representing the Department in pending or potential litigation; with the Merit Systems Protection Board (MSPB), including the Office of the Special Counsel for the purpose of litigation, administrative proceedings and appeals.

**DISCLOSURE:** Personal information provided on this form is given voluntarily. Failure to provide this information, however, may result in the form being completed from other available sources without your participation.

| (Note: Before completing to        | nis form, direct th | ne aggrieved | person to re | eau i iivac | y Aci State | ment).   |
|------------------------------------|---------------------|--------------|--------------|-------------|-------------|----------|
| Name:                              | ·                   | ,            |              |             |             |          |
| DCPDS CATS NO                      |                     |              |              |             |             |          |
|                                    |                     |              |              |             |             |          |
| DESCRIBE THE ALLEGEI<br>MEDIATION: | D DISCRIMINAT       | ORY ACTIOI   | N (S) / ISSU | JE (S) NOT  | RESOLVE     | D DURING |
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| Aggrieved  | Person (Signature and Da |      |      |  |
| Aggileved  | Terson (Signature and Da | ile) |      |  |
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| EEO Office | er (Signature and Date)  |      |      |  |
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MDW FORM 453-R-E, FEB 00 (Back)

#### **MEDIATOR'S EVALUATION**

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

The Military District of Washington is interested in your comments/observations about the mediation process in which you have just participated. Completion of this evaluation will assist us greatly in evaluating how well the program works and to identify areas where the program can be improved.

# THANK YOU FOR YOUR ASSISTANCE! 1. Overall, how satisfied were you with the mediation? (mark one) \_\_\_\_\_ Extremely Satisfied \_\_\_\_\_ Highly Satisfied \_\_\_\_\_ Satisfied \_\_\_\_\_ Slightly Dissatisfied \_\_\_\_\_ Dissatisfied 2. Were you satisfied with the logistical support provided? Yes \_\_\_\_\_ No \_\_\_\_ (Please explain). 3. Were you satisfied with the administrative support provided? Yes \_\_\_\_\_ No \_\_\_\_ (Please explain). 4. Were you satisfied with the management's participation in the process? Yes \_\_\_\_\_ No \_\_\_\_ (Please explain).

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| ADDITIONAL COMMENTS: |              |              |               |
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# PARTICIPANT'S EVALUATION

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

| The is interested in your in your in your in your is interested in your in |
|--|
| THANK YOU FOR YOUR ASSISTANCE!   |
| Overall, how satisfied were you with the mediation? (mark one)   |
| Extremely Satisfied  |
| Highly Satisfied   |
| Satisfied  |
| Slightly Dissatisfied  |
| Dissatisfied   |
| Explain:   |
|  |
|  |
|  |
| 2. Was the mediation process clearly explained to you?   |
| es No (Please check one).  |
|  |
| 3. Would you use ADEPR Mediation again to resolve a dispute?   |
| es No (Please check one).  |
| Explain:   |
|  |
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|  |

| ⁄es                                   | No                | (Please check | one).         |   |   |   |                                       |   |   |
|---------------------------------------|-------------------|---------------|---------------|---|---|---|---------------------------------------|---|---|
| Explain:                              |                   |               |               |   | • |   |                                       |   |   |
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| . Your ro                             | le in mediation v | vas:          |               |   |   |   |                                       |   |   |
|                                       | Aggrieved Pers    |               |               |   |   |   |                                       |   |   |
|                                       |                   |               |               |   |   |   |                                       |   |   |
|                                       | Aggrieved Pers    |               | tative        |   |   | . *   |                                       |   |   |
|                                       | Management (      | Official      |               |   |   |   |                                       |   |   |
|                                       | - Principal Agen  | cy Witness    |               |   |   |   |                                       |   |   |
|                                       | Resolution Off    | cial          |               |   |   |   |                                       |   |   |
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# **EEO OFFICER'S EVALUATION**

For use of this form, see MDW Reg 690-3, the proponent agency is EEO

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|                          |      | ADERP GOLAI       | DERP QUARTERLY REPORT FOR THE<br>QUARTER OF | REPORT          | OR THE  | REQUIREMEN | REQUIREMENT CONTROL SYMBOL       |
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|                          | For  | use of this for   | m, see MDW R                                | eg 690-3, the   | For use of this form, see MDW Reg 690-3, the proponent is EEO |            | 00-100-MO                        |
| AGGRIEVED<br>NAME/ORG    | CATS | MEDIATION<br>DATE | CONCILIATION<br>DATE                        | BASIS/<br>ISSUE | MEDIATORS NAME<br>& PHONE NUMBER                              | NSA        | IF UNRESOLVED<br>DATE RTF ISSUED |
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